U.S. Department of Labor Pension and Welfare Benefits Administration



This document is the property of the Pension and Welfare Benefits Administration.	File No. (48)
Subject: SERVICE PROVIDER	Date
Case Name Address	By Investigator/Auditor
	Approved By
EIN/PN	Status
I. <u>Predication</u> (State the reason for the case opening and for conducti	ng an investigation.)
II. Background	
Claim/Benefit Payments Bene Prep/Maintenance Partic. Records Inve Prep/Maintenance Accounting Records Insu Bonding Util	Participants A Administration fit Consulting stment rance ization Review arial
Claim/Benefit Processing Commissions	COBRA Administration Investment Actuarial Services Rebates
IV. Records Reviewed (For each item checked, supporting documentation of be retained in the case file.) A. General Service Provider Records Client List Marketing Materials State License Receipt/Disbursement Rec	otained during the investigation should Financial

	Plan/Client Records Administration Agree Billing/Invoices Contributions/Premina Participant Records Pended Claims r:	ıms	Form 5500 Benefits/Claims Correspondence Other Contracts	Insurance Contracts	
V. case fi	Interviews Conducte	<u>ed</u> (Supporti	ng documentation for each inter	rview conducted should be retained in the	
	Service Provider Personnel	Plan	n Administrator n Sponsors n Trustee	Accountant Attorney	
Othe	r:				
VI. <u>Issues Identified & Resolution</u> (Provide a brief description of the issues identified and the facts showing that the allegations/issues were not violations. In cases where violations are found, cite the facts showing that VC was achieved, including monetary results, if any, or that other dispositive action was taken.)					
VII.	Civil Penalties				
	Assessed: Yes		502(1) 502(i)		
	No	Why not			